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PTO/SB/21 (08-03)
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/928,109	
	Filing Date	August 10, 2001	
	First Named Inventor	Thomas R. Goodwin	
	Art Unit	3624	
	Examiner Name	Alain L. Bashore	
Total Number of Pages in This Submission	1	Attorney Docket Number	3519.002.00

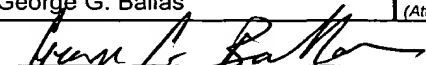
ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): RECEIVED NOV 5 2004 GROUP 3600
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	MCKENNA LONG & ALDRIDGE LLP George G. Ballas
Signature	
Date	November 2, 2004

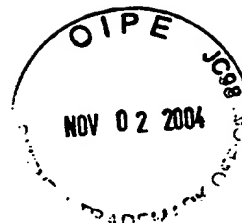
OTPE JC98
NOV - 02 2004

PTO/SB/17 (10-03)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2004 <small>Effective 10/01/2003, Patent fees are subject to annual revision.</small>		Complete if Known	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number	09/928,109
TOTAL AMOUNT OF PAYMENT (\$)		Filing Date	August 10, 2001
180.00		First Named Inventor	Thomas R. Goodwin
		Examiner Name	Alain L. Bashore
		Art Unit	3624
		Attorney Docket No.	3519.002.00
METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)	
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None		NOV 5 2004	
<input type="checkbox"/> Deposit Account: Deposit Account Number: 50-0911 Deposit Account Name: McKenna Long & Aldridge LLP		3. ADDITIONAL FEES	
The Director is authorized to: (check all that apply) <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s) <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.		GROUP 3600	
FEE CALCULATION		Large Entity Small Entity	
1. BASIC FILING FEE		Fee Code Fee (\$) Fee Code Fee (\$)	
Large Entity Small Entity		Fee Description Fee Paid	
Code (\$) Code (\$)			
1001 790 2001 395 Utility filing fee			
1002 350 2002 175 Design filing fee			
1003 550 2003 275 Plant filing fee			
1004 790 2004 395 Reissue filing fee			
1005 160 2005 80 Provisional filing fee			
SUBTOTAL (1) (\$)			
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE		3. ADDITIONAL FEES	
Total Claims <input type="text"/> - 20 = <input type="text"/> x <input type="text"/> 18.00 = <input type="text"/> 0		Large Entity Small Entity	
Independent Claims <input type="text"/> - 3 = <input type="text"/> x <input type="text"/> 88.00 = <input type="text"/> 0		Fee Code Fee (\$) Fee Code Fee (\$)	
Multiple Dependent <input type="text"/> = <input type="text"/>		Fee Description Fee Paid	
Large Entity Small Entity			
Fee Code (\$) Fee Code (\$)			
1202 18 2202 9 Claims in excess of 20		1051 130 2051 65 Surcharge - late filing fee or oath	
1201 88 2201 44 Independent claims in excess of 3		1052 50 2052 25 Surcharge - late provisional filing fee or cover sheet.	
1203 300 2203 150 Multiple dependent claim, if not paid		1053 130 1053 130 Non-English specification	
1204 88 2204 44 ** Reissue independent claims over original patent		1812 2,520 1812 2,520 For filing a request for <i>ex parte</i> reexamination	
1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent		1804 920* 1804 920* Requesting publication of SIR prior to Examiner action	
SUBTOTAL (2) (\$)		1805 1,840* 1805 1,840* Requesting publication of SIR after Examiner action	
0.00		1251 110 2251 55 Extension for reply within first month	
**or number previously paid, if greater; For Reissues, see above		1252 430 2252 215 Extension for reply within second month	
		1253 980 2253 490 Extension for reply within third month	
		1254 1,530 2254 765 Extension for reply within fourth month	
		1255 2,080 2255 1,040 Extension for reply within fifth month	
		1401 340 2401 170 Notice of Appeal	
		1402 340 2402 170 Filing a brief in support of an appeal	
		1403 300 2403 150 Request for oral hearing	
		1451 1,510 1451 1,510 Petition to institute a public use proceeding	
		1452 110 2452 55 Petition to revive - unavoidable	
		1453 1,370 2453 685 Petition to revive - unintentional	
		1501 1,370 2501 685 Utility issue fee (or reissue)	
		1502 490 2502 245 Design issue fee	
		1503 660 2503 330 Plant issue fee	
		1460 130 1460 130 Petitions to the Director	
		1807 50 1807 50 Processing fee under 37 CFR 1.17(q)	
		1806 180 1806 180 Submission of Information Disclosure Stmt	
		8021 40 8021 40 Recording each patent assignment per property (times number of properties)	
		1809 790 2809 395 Filing a submission after final rejection (37 CFR 1.129(a))	
		1810 790 2810 395 For each additional invention to be examined (37CFR 1.129(b))	
		1801 790 2801 395 Request for Continued Examination (RCE)	
		1802 900 1802 900 Request for expedited examination of a design application	
		Other fee (specify) Publication Fee	
		*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	
		180.00	
SUBMITTED BY		(Complete (if applicable))	
Name (Print/Type) George G. Ballas		Registration No. (Attorney/Agent) 52,587	
Signature 		Telephone 202-496-7500	
		Date November 2, 2004	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



IN RE APPLICATION: Thomas R. Goodwin et al.

GROUP ART UNIT: 3624

SERIAL NUMBER: 09/928,109

EXAMINER: Alain L. Bashore

FILED: August 10, 2001

FOR: SYSTEM AND METHOD FOR TRADING AND ORIGINATING FINANCIAL PRODUCTS USING A
COMPUTER NETWORK

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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GROUP 3600

Sir:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The Applicant(s) wish to make of record the references listed on the attached PTO/ SB/08. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☒ A check is attached in the amount required under 37 CFR § 1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending applications or issued patents which may be related to the present application. A copy of the patent(s) is attached along with PTO/ SB/08.
- ☐ A check is attached in the amount required under 37 CFR § 1.17(p).

CERTIFICATION

The undersigned certifies that

- ☐ each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this statement.

PETITION

- ☐ Applicant(s) hereby request consideration of the attached information. A check is attached in the amount of the Petition fee required under 37 CFR § 1.17(i)(1).

Docket Number: 3519.002.00
Application No.: 09/928,109

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account No. 50-0911. A duplicate copy of this sheet is enclosed.



Respectfully submitted,

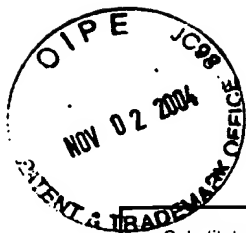
A handwritten signature in black ink, appearing to read "George G. Ballas".

George G. Ballas
Registration No.: 52,587
McKenna Long & Aldridge LLP
1900 K Street, N.W.
Washington, D.C. 20006
Telephone No: (202) 496-7500
Date: November 2, 2004

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GROUP 3600

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	09/928,109
Filing Date	August 10, 2001
First Named Inventor	Thomas R. Goodwin
Art Unit	3624
Examiner Name	Alain L. Bashore
Attorney Docket Number	3519.002.00

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AA	6,014,643	01/11/2000	Minton	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
	BA					

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CA		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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